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Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>				<i>Complete if Known</i>	
				Application Number	
				Filing Date	
				First Named Inventor	FULLER
				Art Unit	
				Examiner Name	
Sheet	1	of	3	Attorney Docket Number	DF01-001

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No.¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code² (if known)			
		US- 6,272,483	8/7/2001	Joslin, Clements	
		US- 6,269,339	7/31/2001	Silver	
		US- 6,223,164	5/24/2001	Seare et al.	
		US- 6,088,510	7/11/2000	Sims	
		US- 5,999,893	12/7/1999	Lynch et al.	
		US- 6,026,397	2/15/2000	Sheppard	
		US- 6,272,478	8/7/2001	Obata et al.	
		US- 6,212,526	4/3/2001	Chaudhuri et al.	
		US- 6,125,362	9/26/2000	Elworthy	
		US- 5,787,420	7/28/2001	Tukey	
		US- 5,712,984	1/27/1998	Hammond et al.	
		US- 6,029,138	2/22/2000	Khorasami et al.	
		US- 6,202,053	3/13/2001	Christiansen et al.	
		US- 6,266,656	7/24/2001	Ohno	
		US- 6,182,070	1/30/2001	Megiddo et al.	
		US- 5,187,673	2/16/1993	Carver, Jr. et al.	
		US- 5,790,758	8/4/1998	Streit	
		US-			
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		US-			

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Substitute for form 1449B/PTO

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 2 of 3

## Complete if Known

Application Number  
Filing Date  
First Named Inventor FULLER  
Group Art Unit  
Examiner Name  
Attorney Docket Number DF01-001

U.S. PTO  
10/02/99  
12/31/01

## OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
	1.	Anderberg, Michael, <u>Cluster Analysis for Applications</u> , Academic Press, New York, 1973.	
	2.	Bock, HH, <u>Classification and Related Methods of Data Analysis</u> , Elsevier Science Publishers, North Holland, 1988	
	3.	Celeux, Gilles and Soromenho, Gilda, "An Entropy Criterion for Assessing the Number of Clusters in a Mixture Model," <i>Journal of Classification</i> , 13, 195-212, 1996	
	4.	Fowles JB et al, "Taking health status into account when setting capitation rates: a comparison of risk-adjustment methods," <i>JAMA</i> 276(16): 1316-21, 1996.	
	5.	Hornbrook, Mark C & Goodman Michael J., "Assessing Relative Health Plan Risk with the Rand 36 Health Survey," <i>Inquiry</i> , 32:1, 56-74, 1995.	
	6.	Hornbrook, Mark C & Goodman Michael J., "Chronic Disease, Functional Health Status, and Demographics: A Multi-Dimensional Approach to Risk Adjustment," <i>Health Services Research</i> , 31:3, 283-307, 1996.	
	7.	Lamers, LM & van Vliet RC, "Multiyear diagnostic information from prior hospitalization as a risk-adjuster for capitation payments," <i>Medical Care</i> , 34:4 549-561, 1996.	
	8.	Lorr, Maurice, <u>Cluster Analysis for Social Scientists</u> , Jossey-Bass Publishers, San Francisco, 1983.	
	9.	Matthews, Geoffrey & Hearne, James, "Clustering Without a Metric," <i>IEEE Transactions on Pattern Analysis and Machine Intelligence</i> , V13N2, p175-184, 1991.	
	10.	Soromenho, Gilda, "Comparing Approaches for Testing the Number of Components in a Finite Mixture Model," <i>Computational Statistics</i> , 9, 65-78, 1994.	
	11.	Nord, Erik, "Health Status Index Models for use in Resource Allocation Decisions," <i>International Journal of Technology Assessment in Health Care</i> , 12:1, 1996.	

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Sheet	3	of	3		

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